

Attorney's Docket No.: 07977-204002 / US3480D1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hisashi Ohtani  
Serial No. : 09/389,393  
Filed : September 3, 1999  
Title : SEMICONDUCTOR DEVICE HAVING INSULATED GATE ELECTRODE

Art Unit : 2815  
Examiner : Bradley Baumeister

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

REQUEST FOR INITIALED PTO FORM 1449

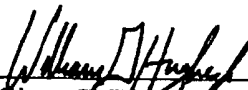
Upon reviewing the file, applicants noted that they have not received an initialed copy of the enclosed PTO Forms 1449 and 892 that accompanied an information disclosure statement filed September 3, 1999.

Applicants' records show that this information disclosure statement complied with 37 CFR 1.97. For the Examiner's convenience, all of the references identified on the three PTO-892 forms and the one PTO-1449 form have been combined in one document (identified as Appendix A). Thus, it is respectfully requested that the examiner initial and return the forms as originally submitted or, in the alternative, initial and return the revised PTO-1449 as soon as possible.

The examiner's prompt attention to this matter would be greatly appreciated.

Respectfully submitted,

Date: November 3, 2003

  
\_\_\_\_\_  
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**Notice of References Cited**Application No.  
**08/976,739**

Applicant(s)

**OHTANI**Examiner  
**William Baumeister**Group Art Unit  
**2815**

Page 1 of 1

**U.S. PATENT DOCUMENTS**

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,272,100	12/21/93	Satoh et al.	438	305
B	5,308,998	5/3/94	Yamazaki et al.	257	72
C	5,422,505	6/6/95	Shirai	257	401
D	5,481,121	1/2/96	Zhang et al.	257	72
E	5,619,045	4/8/97	Konuma et al.	257	72
F	5,668,032	9/16/97	Holmberg et al.	257	59
G	5,741,736	4/21/98	Orlowski et al.	438	286
H					
I					
J					
K					
L					
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**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
N						
O						
P						
Q						
R						
S						
T						

**NON-PATENT DOCUMENTS**

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
U		
V		
W		
X		

<b>Notice of References Cited</b>	Application No. <b>08/976,739</b>	Applicant(s) <b>OHTANI</b>	
	Examiner <b>William Baumeister</b>	Group Art Unit <b>2815</b>	Page 1 of 1

## U.S. PATENT DOCUMENTS

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,742,363	4/21/98	Bae	249	48
B	5,670,795	9/23/97	Ikeda	257	72
C	5,580,800	12/3/96	Zhang et al.	437	40
D	5,430,320	7/4/95	Lee	257	412
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## FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
N	JP-406275641A	8/30/94	Japan	Semiconductor Energy Lab	H01L21	336
O						
P						
Q						
R						
S						
T						

## NON-PATENT DOCUMENTS

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
U		
V		
W		
X		

**Notice of References Cited**

Application No.

08/976,739

Applicant(s)

ONTANI, I'ISAKI

Examiner

BILL BAUMEISTER

Group Art Unit

2815

Page 1 of 1

**U.S. PATENT DOCUMENTS**

*	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,731,216	3/24/98	HOLMBERG et al	437	40
B	5,643,817	7/1/97	KIM et al	437	5
C	5,612,234	3/18/97	Ho	437	4
D	5,604,137	2/18/97	YAMAZAKI et al	437	40
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**FOREIGN PATENT DOCUMENTS**

*	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
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T						

**NON-PATENT DOCUMENTS**

*	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
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\* A copy of this reference is not being furnished with this Office action.  
(See Manual of Patent Examining Procedure, Section 707.05(a).)

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FORM PTO-1449  
(20)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET  
07977/204001/US3480

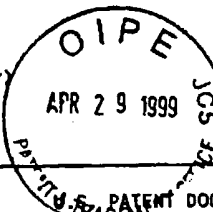
Sheet 1 of 1

SERIAL NO.  
08/976,739INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)

APR 29 1999

APPLICANT:  
Hisashi OhtaniFILING DATE  
November 24, 1997GROUP  
2815

(37 CFR 1.98(b))



EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
BWB	AA	5	5	1	8	8	0	5	5/21/96	Ho et al.			
BWB	AB	5	1	7	7	5	7	7	1/5/93	Taniguchi et al.			
BWB	AC	5	5	1	8	9	3	6	5/21/96	Yamamoto et al.			
	AD												
	AE												
	AF												
	AG												
	AH												
	AI												
	AJ												
	AK												

## FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER DOCUMENTS (including Author, Title, Date, Place of Publication)

	AQ							
	AR							
	AS							

EXAMINER

BWB Baumer

DATE CONSIDERED

5/18/99

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hisashi Ohtani                      Art Unit : 2815  
Serial No. : 09/389,393                      Examiner : Bradley Baumeister  
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ELECTRODE

Commissioner for Patents  
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Alexandria, VA 22313-1450

# APPENDIX A

## (FORM PTO-1449)

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**ATTORNEY DOCKET:**

~~XXXXXXXXXX~~  
07977-204002

Sheet 1 of 1

Substitute Form PTO-1449 (Modified)  <b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. <b>07977-204002</b>	Application No. <b>09/389,393</b>
	Applicant <b>Hisashi Ohtani</b>		
	Filing Date <b>September 3, 1999</b>	Group Art Unit <b>2815</b>	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	5,177,577	01/05/93	Taniguchi et al.			
	AB	5,272,100	12/21/93	Satoh et al.			
	AC	5,308,998	05/03/94	Yamazaki et al.			
	AD	5,422,505	06/06/95	Shirai			
	AE	5,430,320	07/04/95	Lee			
	AF	5,481,121	01/02/96	Zhang et al.			
	AG	5,518,805	05/21/96	Ho et al.			
	AH	5,518,936	05/21/96	Yamamoto et al.			
	AI	5,580,800	12/03/96	Zhang et al.			
	AJ	5,612,234	03/18/97	Ho			
	AK	5,619,045	04/08/97	Konuma et al.			
	AL	5,624,137	02/18/97	YAMAZAKI et al.			
	AM	5,643,817	07/01/97	Kim et al.			
	AN	5,668,032	09/16/97	Holmberg et al.			
	AO	5,670,795	09/23/97	Ikeda			
	AP	5,731,216	03/24/98	Holmberg et al.			
	AQ	5,741,736	04/21/98	Orlowski et al.			
	AR	5,742,363	04/21/98	Bae			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AS	JP 406275641A	08/30/94	JAPAN				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AT	
	AU	

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	